

JC965 U.S. PTO
11/29/00

12-01-00

A

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No: 12951US01

PATENT APPLICATION TRANSMITTAL

Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231

JC860 U.S. PTO
09/726686
11/29/00

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Roger Cayton, Richard W. Brotzman, Jr., and Marc Kullberg

Title: SUBSTANTIALLY TRANSPARENT, ABRASION-RESISTANT FILMS CONTAINING
SURFACE-TREATED NANOCRYSTALLINE PARTICLES

1. Type of Application

This new application is for a:

☒ utility patent.

☐ design patent.

This application is a:

☐ continuation

☐ divisional

☐ continuation-in-part (CIP)

2. Application Papers Enclosed

- ____ Title Page
- 29 Pages of Written Description (excluding Claims, Abstract & Drawings)
- 14 Page(s) of Claims (1-49)
- 1 Page(s) of Abstract
- 2 Sheet(s) of Drawings (Figs. 1 and 2)
- ☐ Formal
- ☒ Informal

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Patent Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on **November 29, 2000**, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EL649146197US.

Michael B. Harlin

Michael B. Harlin
Registration No. 43,658

3. Declaration or Oath

☒ Enclosed (not executed)

Executed by (check all applicable boxes)

☐ Inventor(s) (copy from prior application)

☐ Legal representative of inventor(s)

(37 CFR 1.42 or 1.43)

☐ Joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached

☐ The petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 are enclosed. See Item 5D below for fee.

☐ Not enclosed - the undersigned attorney or agent is authorized to file this application on behalf of the applicant(s). An executed declaration will follow.

4. Additional Papers Enclosed

☐ Preliminary Amendment

☐ Information Disclosure Statement, including copies of cited references

☐ Declaration of Biological Deposit

☐ Computer readable copy of sequence listing containing nucleotide and/or amino acid sequence

☐ Verified statement(s) claiming small entity status under 37 CFR 1.9 and 1.27

☐ Associate Power of Attorney

☐ Verified translation of a non-English patent application

☐ An assignment of the invention (copy of recorded assignment(s) from prior application)

☐ Certified copy(ies) of application(s):

| COUNTRY | APPLICATION NO. | FILED |
|---------|-----------------|-------|
| | | |
| | | |
| | | |

from which priority under 35 USC 119 is claimed

☐ is(are) attached.

☐ will follow.

☐ Other

5. Filing Fee Calculation (37 CFR 1.16)

A. ☒ Utility Application

| CLAIMS AS FILED - INCLUDING PRELIMINARY AMENDMENT (IF ANY) | | | | | | |
|---|-----------|-----------|--------------|-----------|---------------------------|------------|
| | | | SMALL ENTITY | | OTHER THAN A SMALL ENTITY | |
| | NO. FILED | NO. EXTRA | RATE | FEE | RATE | FEE |
| BASIC FEE | | | | \$ 355.00 | | \$ 710.00 |
| TOTAL | 49 -20 | = 29 | X 9 = | \$261.00 | X 18 = | \$ 522.00 |
| INDEP. | 3 - 3 | = 0 | X 40 = | \$ | X 80 = | \$ 0.00 |
| <input type="checkbox"/> First Presentation of Multiple Dependent Claim | | | + 135 = | \$ | + 270 = | \$ 0.00 |
| Filing Fee: | | | | \$616.00 | OR | \$ 1232.00 |

B. ☐ Design Application (\$160.00/\$320.00) Filing Fee: \$ _____

C. ☐ Plant Application (\$245.00/\$490.00) Filing Fee: \$ _____

D. Other Fees

☐ Recording Assignment [Fee -- \$40.00 per assignment] \$ _____

☐ Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached [Fee -- \$130.00] \$ _____

☐ Other \$ _____

Total Fees Enclosed \$ _____

6. Method of Payment of Fees

☐ Enclosed check in the amount of: \$ _____

☒ Charge Deposit Account No. 13-0017 in the amount of: \$ 1232.00
A copy of this Transmittal is enclosed.

☐ Not enclosed

7. **Deposit Account and Refund Authorization**

The Commissioner is hereby authorized to charge any deficiency in the amount enclosed or any additional fees which may be required during the pendency of this application under 37 CFR 1.16 or 37 CFR 1.17 or under other applicable rules (except payment of issue fees), to Deposit Account No. 13-0017. A copy of this Transmittal is enclosed.

Please refund any overpayment to Deposit Account No. 13-0017.

Please direct all future communications to Thomas J. Wimbiscus at the address below.

McAndrews, Held & Malloy, Ltd.
500 West Madison Street, 34th Floor
Chicago, Illinois 60661

Please direct all telephone calls to Thomas J. Wimbiscus at (312) 775-8109. Please direct all facsimile transmissions to Thomas J. Wimbiscus at (312) 775-8100. Please direct all e-mail transmissions to twimbiscus@mhmlaw.com.

Respectfully submitted,

By:



Thomas J. Wimbiscus
Registration No. 36,059
Michael B. Harlin
Registration No. 43,658

Date: November 29, 2000